NACO Training
for RLG Libraries

PROGRAM FOR COOPERATIVE CATALOGING

May 2001

FIXED FIELD CONVERSION TABLE

OCLC	RLIN	MARC 21	Name of Element	Values
ENC LVL	EL	Leader/17	Encoding Level	o = early notice n = verified*
AUTH/REF	KRC	008/09	Kind of Record	a = heading*
RULES	CRC	008/10	Descriptive Cataloging Rules	a = earlier b = AACR 1 c = AACR 2* d = AACR 2-compatible*
SUBJ	SBC	008/11	Subject Heading System	a = LCSH*
REF STATUS	RFE	008/29	Reference Evaluation	a = valid/evaluated* b = unevaluated n = no references*
UPD STATUS	UIP	008/31	Record Update in Process	a = verified* b = being updated
NAME	UPN	008/32	Undifferentiated Personal Name	a = personal name* b = undifferentiated* n = not personal name*
AUTH STATUS	STH	008/33	Level of establishment	a = full* b = memo c = prov* d = prelim
SOURCE	CSC	008/39	Cataloging Source	[blank] = Natl lib c = PCC library*

*value most likely to be used by PCC library

subfield a (source citation): *Title proper, Date of publication*
subfield b (information found in source): *Specific location of the information found (such as, t.p., jkt., cover, p. 97), information found, enclosed in parentheses*

Example: 670 The new book of electrocardiography, c1994: $b t.p. (Belinda B. Barnes, M.D.) back cover (head of surgery, Arlington Hospital Center, Arl., Va.) p. 3, etc. (b. 1946; d. 1994; heart specialist)

Other special types of citations:

> *Citing LC records found in RLIN:*
> 670   RLIN, Aug. 18, 1996 $b (hdg.: Root, Elijah Paul, 1882-1947; usage: E.P. Root)
>
> *Citing LC Minimal Level cataloging records:*
> 670   LC in RLIN, Aug. 18, 96 $b (MLC hdg.: Knarr, Bruce Alan, 1946- ; usage: Bruce Alan Knarr)
>
> *Citing the National Union Catalog (NUC):*
> 670   NUC pre-56 $b (hdg.: Parker, Sir David Thomas, 1882-)
>
> *Citations from the former LC PREMARC file:*
> 670   LC PREMARC file $b (Rotterdam Tire Co., inc.)
>
> *Citing Old catalog headings from LC's OPAC:*
> 670   LC database, Sept. 24, 1999 $b (hdg.: John, William David, 1898- [from old catalog])
>
> *Citing reference sources:*
> 670   Nat. fac. dir., 1994 $b (John W. Smith, prof. of pharmacy, Univ. of Illinois, Urbana-Champaign; Ph. D., 1983 from Univ. of Michigan; b. 2 Dec. 1945)
> 670   DNB $b (Suarez, Benita; author, poet, musician; b. Mar. 20, 1924 in Los Angeles)
>
> *Citing telephone calls:*
> 670   Phone call to T. Solis, Aug. 12, 1994 $b (Theodore Solis, prefers to use form: Ted Solís)
>
> *Citing BGN (Board on Geographic Names):*
> 670   BGN, May 23, 1993 $b (Provincia di Varese [Varese = brief]; 44°22'N, 9°37'E)
>
> *Citing other files or catalogs:*
> 670   NLC, Aug. 22, 1993 $b (Jones, Phyllis Markham, 1956-)
> 670   OCLC, Feb. 28, 1987 $b (hdg.: Parker, Bitterhaus & Phlung)
> 670   NLM files, Mar. 15, 1991 $b (Porterhouse, Phyllis, M.D.)
> 670   LC database, Aug. 18, 1994 $b (hdg.: Miles, Austin, 1933-; usage: Austin Miles; Kokomo the Clown)

"W" CONTROL SUBFIELDS IN 4XX AND 5XX FIELDS

Possible Combinations

	USMARC	UTILITY	EXPLANATION
4XX	nnnn	**BLANK**	Simple cross reference Do **not** supply any ǂw values
	nnan	**nna**	Linking reference to a pre-AACR2 heading (optional)
	nnaa	**nnaa**	Pre-AACR2 heading is **not** a valid AACR2 reference
	nnen	**nne**	Valid cross reference was also an earlier AACR2 heading
	nnnb	**nnnb**	Reference not displayed; **664** field used **(may find but never use)**
5XX	nnnn	**BLANK**	Simple see also reference Do **not** supply any ǂw values
	annn	**a**	Earlier heading
	bnnn	**b**	Later heading
	nnnc	**nnnc**	See also reference for pseudonyms **(663** field used)
	nnna bnna anna	**nnna** **bnna** **anna**	Reference not made (displayed) cf. RI26.3B-C(1b), p. 2 **(unlikely ever to use)**

wcontrpc.wp5: August 16, 1996

"W" CONTROL SUBFIELDS IN 4XX AND 5XX FIELDS

Values

4XX	Byte 0 1st Position	Byte 1 2nd Position	Byte 2 3rd Position	Byte 3 4th Position
	n	n	n a e	n a b

3rd Position:	a = pre-AACR2 heading (linking reference) e = earlier AACR2 heading	
4th Position:	a = reference **not** made (displayed) b = cataloger-generated reference with 664 **(may find, but never make)**	

5XX	a b n	n	n	a c n

1st Position:	a = earlier heading b = later heading n = default	
4th Position:	a = reference **not** made (displayed) **(used in only one case)** c = cataloger-generated reference with 663 **(used with pseudonyms only)**	

FOREWORD TO MAY 2001 REVISION

The schedule for updating the training manuals *NACO Training for OCLC Libraries* and *NACO Training for RLG Libraries* is irregular. Cooperative catalogers and cataloging policy specialists first published the training manuals in binders in connection with the Training the NACO Trainer class in 1995, and revamped them for subsequent classes. A few of the current changes in the manuals were made to reflect changes in the NACO environment not caught in earlier updates. Most changes are additions to the exercises and explanatory pages in the trainee manual.

Users are welcome to send suggestions for improvements to cast@loc.gov.

NACO PARAMETERS

Additional explanations about required documentation remind NACO participants that neither the AACR2 nor MARC 21 Authority Format may be used as stand-alone documents. Each is to be used in conjunction with the appropriate instructions found in the LCRIs and in the pages referred to as Blue Pages and Yellow Pages.

The parameters include a new reminder of the English language environment of the NACO database.

6XX FIELDS: THINGS TO REMEMBER

These added pages help explain the 670, 675, and 667 fields.

CORPORATE NAME AUTHORITY EXERCISES

New exercises are added, along with conference name and conference reference things to remember sheets.

REFERENCE EVALUATION EXERCISES

The three exercises formerly on one page are now on separate pages, with notes on elements in the records which need evaluation. These exercises are preceded by a new tab, REFERENCE EVALUATION/CHANGES.

NACO ADMINISTRATION NOTES

These notes include a few more guidelines for contributors using RLIN.

GLOSSARY OF PCC-RELATED TERMS AND ABBREVIATIONS

The addition of the glossary is an attempt to demystify the jargon of the Program for Cooperative Cataloging. Please forward suggestions for the glossary with any other comments about this manual to <u>cast@loc.gov</u>

APPENDIX B DELETED

The NACO Participants Manual, formerly in Appendix B, is one of the free subscription items sent to NACO institutions or to coordinators of funnel projects to distribute to their members as needed. A third edition will be available both in print and online.

PRINTING CONVENTIONS

Current production of some NACO documentation relies on scanning camera-ready copy. In order to make it easier in the future to convert documents to electronic files, LC's Cataloging Policy and Support Office has adopted the conventions of using a dollar sign ($) to indicate a subfield delimiter symbol, and using a number symbol (#) for a blank. Newer pages in this update use these conventions; older pages may not.

CONTENTS NACO DAY 1

CONTENTS NACO DAY 1 (cont.)

NACO TRAINING

Course Summary

This course trains new NACO participants to create and revise name authority records for contribution to the National Authority File; it also provides guidance for submitting proposals for new and revised LC subject headings for inclusion in *LCSH*. Its scope does not include music uniform title name authority records or series authority records, for which other training is required.

Learning Objectives

At the end of the course NACO participants will be able to:

1. Use the documentation relevant to the creation and revision of authority records.

2. Search the database for relevant access points.

3. Create and revise name authority records according to *AACR2* and the *LCRIs*.

4. Apply content designation in accordance with the *MARC 21 Authority Format*.

5. Evaluate existing name authority records.

6. Update and modify existing name authority records.

7. Optionally: Complete the LC subject heading proposal form.

NACO TRAINING OUTLINE

DAY 1

Introductions, housekeeping, outline, PCC history, etc.
MARC 21 Authority Format (focus on Z1 (yellow pages); fixed fields & 670)
AFTERNOON

Searching (why, where, how much is required)
Practicum in utility input/update procedures, searching, etc.

DAY 2

Chapter 22 Personal names (review AACR2 & focus on LCRIs)
Chapter 26 References (personal names)
AFTERNOON

Practicum in searching and establishing personal names

DAY 3

Chapter 24--Corporate bodies (review of AACR2; focus on LCRIs)
Chapter 26--References (corporate names, focus on LCRIs)
AFTERNOON

Practicum in searching and establishing corporate names

DAY 4

Chapter 26 References (continued); review of corporate, personal names
Chapter 23 Geographic names (focus on LCRIs)
Chapter 25 Uniform titles (focus on LCRIs)
AFTERNOON

Practicum in establishing corporate, geographic, and personal names, etc.

DAY 5

Review and wrap-up
Administration and communication
SACO: contribution of subject heading proposals
Optional demo of LC online catalog, etc.

NACO PROGRAM BACKGROUND

The Name Authority Cooperative Project (NACO) began in 1977 as a joint project between the Library of Congress and the U.S. Government Printing Office (GPO) to use and maintain a common authority file which would reduce the cost of authority work, the most expensive aspect of cataloging. With the success of this initial project, NACO expanded to encompass many institutional participants. As of 1999, there are well over 300 libraries contributing as separate institutions or in one of the many NACO funnel projects.
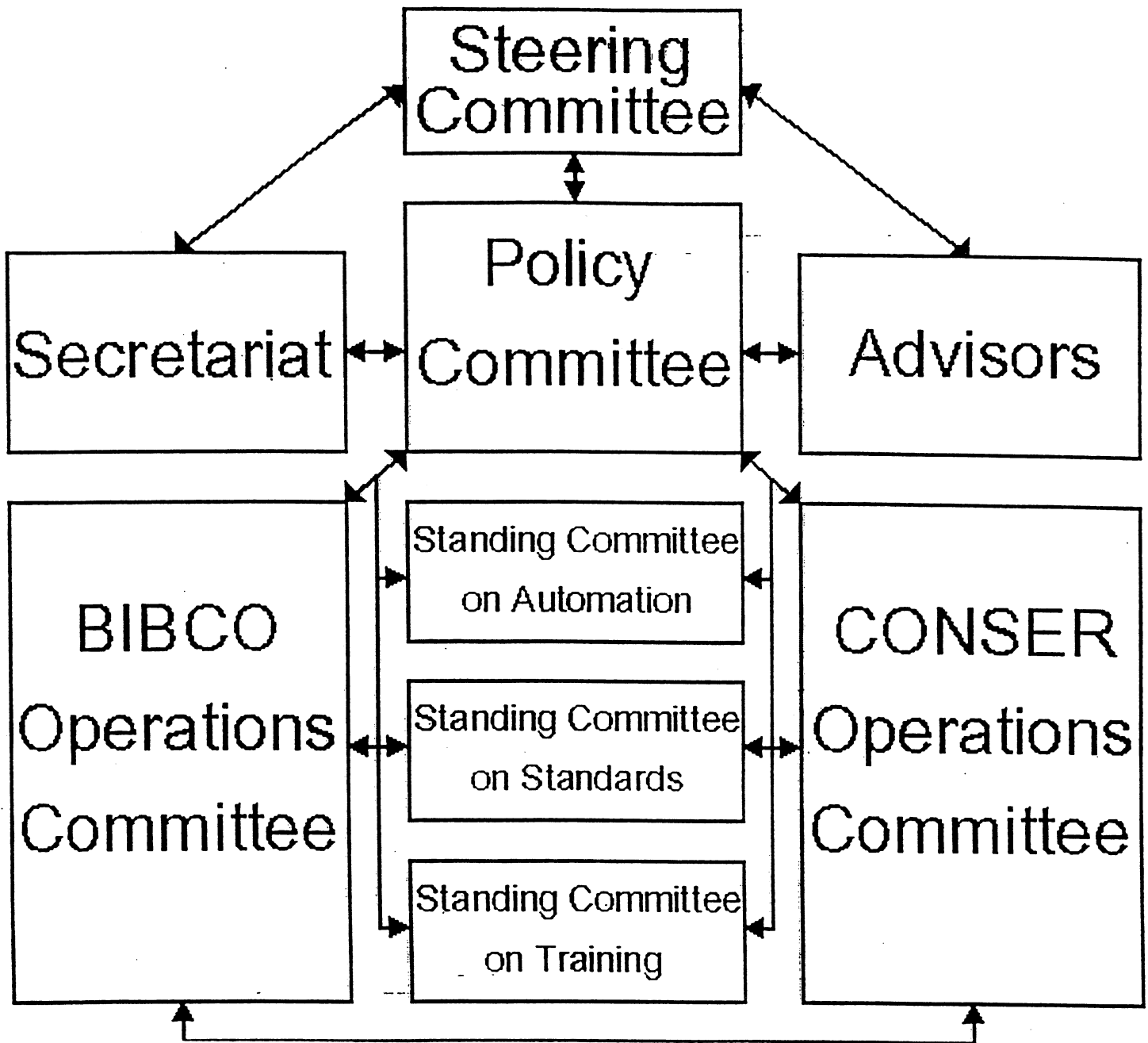
For the first ten years of the project, participating libraries contributed name and series authority records on paper worksheets to the Library of Congress where they were re-keyed and distributed to the bibliographic utilities via MARC distribution tapes. Today, most libraries contribute to the master file in the LC database via their bibliographic utility (OCLC or RLIN), creating an authority file which is truly national in scope and increasingly becoming international. Copies of all new and changed records are re-distributed by LC on a daily basis to our bibliographic utility partners in order to synchronize the three files. This exchange is now accomplished using the Internet's File Transfer Protocols (FTP).

NACO's benefits are many--not just to LC and the cooperating libraries, but to the national and international cataloging communities which benefit from these records as well. Not only are the costs of authority work shared, but duplication of effort is reduced, timeliness is improved, and coverage of the National Authority File (NAF) is expanded. NACO members share their expertise with the library community by serving as trainers and representatives to the governing body of NACO.

As NACO has matured from a two-library program to one which involves over 300, contributions to the file have also risen dramatically. NACO-contributed records accounted for roughly one half of all new name and series records added to the authority file in fiscal year 1998 (the Library of Congress accounts for the remainder). Fiscal Year 1996 witnessed the one millionth contribution to the file--an amazing feat accomplished only through cooperative efforts.

Membership in NACO is a prerequisite for contributing to BIBCO, the bibliographic component, and CONSER, the serials component of the Program for Cooperative Cataloging (PCC). SACO (Subject Authority Cooperative Project) is the fourth component of the PCC.

PCC Structure

Steering Committee

Secretariat

Policy Committee

Advisors

BIBCO Operations Committee

Standing Committee on Automation

Standing Committee on Standards

Standing Committee on Training

CONSER Operations Committee

PCC Programs Overview
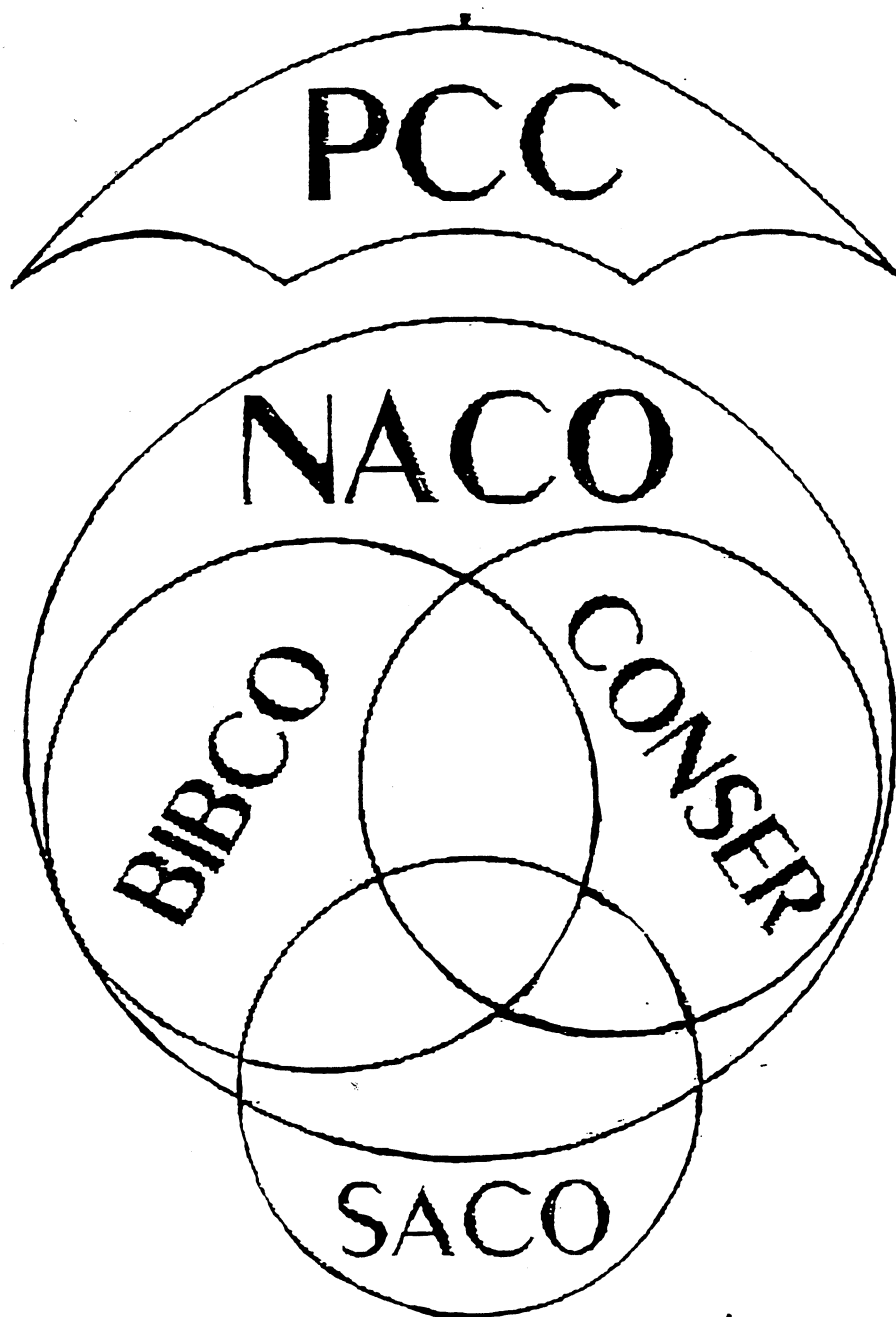
NACO PARAMETERS

The following is a brief outline of the fundamental parameters within which all NACO participants agree to work.

The underlying principle of the NACO or National Authority File (NAF) is that participants agree to follow a common set of standards and guidelines when creating or changing authority records in order to maintain the integrity of a large shared authority file. During the week of NACO training these guidelines are discussed and built upon with an ever growing awareness of the need to streamline efforts while building a consistent and predictable file that will reduce the efforts of the global library community and maximize its resources.

BASIC DOCUMENTATION NEEDED

The first principle of the NACO program is that all authority contributions are to be formulated using the following documentation, some of which will be provided by the Coop Team at the time of training:

1.   The *Anglo-American Cataloging Rules* (second revised edition) Chapters 22-26 and index. These rules must be applied by NACO partners in conjunction with the LCRIs.

2.   The *Library of Congress Rule Interpretations* (LCRIs) Chapters 22-26. These guidelines provide the LC policies related to AACR2. They state the AACR2 options chosen, provide explanation and expansion of certain rules, etc. in an attempt to assure uniformity which will facilitate retrieval and increase the predictability of data elements in the NAF.

3.   The *MARC 21 Authority Format*-The **white pages** are the basic pages which describe and illustrate the structural elements (content designation) of authority records, such as the leader, fixed fields, variable fields, subfields and all codes which are defined for these fields. NOTE: The Library of Congress does not implement all elements described in the white pages, and since the PCC program records follow LC guidelines, participants must refer to the supplements known as the **blue pages** when applying the content designation found in the basic text of the *MARC 21 Authority Format.*

4.   The *LC Guidelines Supplement* to the *MARC 21 Authority Format*--known as the **blue pages,** are issued by the Network Development and MARC Standards Office of the Library of Congress to state which MARC elements in the white pages are not implemented by the LC. Suggested filing order for print copies of *MARC 21 Authority Format* used by NACO participants: white pages, blue pages, and then yellow pages.

5.   *Descriptive Cataloging Manual Z1: Name and Series Authority Records* supplement to the *MARC 21 Authority Format*–known as the **yellow pages** or DCM Z1, constitute LC's internal procedural document used in the creation and modification of authority records. This document is issued by the Cataloging Policy and Support Office and is to be considered as the official procedures document for NACO participants. Suggested filing order for print copies of *MARC 21 Authority Format* used by NACO participants: white pages, blue pages, and then yellow pages.

6.   The *Library of Congress Subject Cataloging Manual* (SCM) H405, Establishing Certain Entities in the Name or Subject Authority File

NEW NAME AUTHORITY RECORD CONTRIBUTIONS

NACO participants may contribute new **name authority records** (NARs) and may make changes to existing authority records in the NACO Authority File, with some exceptions.

NACO libraries may contribute **series** authority records and **music uniform title** authority records only after completing the appropriate **additional** training. Information on joining the NACO-Music funnel project and a schedule of series training workshops are available on request from the Cooperative Cataloging team.

NACO libraries are **not obligated** to contribute **all** authorities generated by their cataloging or any one individual heading, **except in the following cases:**

1.	All bodies that are part of an established hierarchy; e.g., when establishing a body that is entered subordinately to its parent body, if an NAR for the parent body is not present in the NAF, it must be established and contributed as well.

| For this NAR: | 1xx | $a **Parent body**. $b Subordinate body |
| Another NAR is needed: | 1xx | $a **Parent body** |

2.	All bodies referred through in cross references; e.g., if a heading is entered independently and a reference is given through a higher body, the higher body needs to be represented in the authority file as well, this may mean that the library will need to create an additional name authority in addition to the one the library needs to use in its catalog.

For this NAR:	1xx	$a Government agency (**Jurisdiction**)
	4xx	$a **Jurisdiction**. $b Government agency
Another NAR is needed:	1xx	$a **Jurisdiction**

3.	All names and corporate bodies used in see also references (5XXs); e.g., when establishing a name for an author who uses a pseudonym, or a corporate heading representing an earlier and later change of name, the library will need to connect the headings by means of see-also's. In order to avoid blind references the participant will need to make sure that the corresponding heading is established.

For this NAR:	1xx	$a Current name of business
	5xx $wa	$a **Earlier name of business**
Another NAR is needed:	1xx	$a **Earlier name of business**
	5xx $wb	$a Current name of business

4.	All headings under which uniform titles are entered; e.g., if a NAR for the uniform title *Works* is entered under an author who is not established in the NAF, a NAR for the author must be contributed as well.

| For this NAR: | 1xx | $a **Author**. $b Title |
| Another NAR is needed: | 1xx | $a **Author** |

MATERIALS IN OTHER LANGUAGES

The NACO database is an English-language database. Therefore, the 040 subfield $b in authority records is always set to "$b eng". NACO participants agree to use the conventions for qualifiers of authority headings which also reflect the English-language environment of the NACO database.

CHANGES TO EXISTING NAME AUTHORITY RECORDS

All headings in the NAF are eligible to be changed by NACO participants with the following caveat:

Participants should notify their Cooperative Cataloging liaison of any changes made on the English Short Title Catalogue (codes: ESTC, CU-RivES) or Eighteenth Century Short Title Catalogue (code: Uk-ES) headings (1XXs only) and notify the British Library before making a change to British Library (Uk) headings (1XXs only). This is because these catalogs are authoritative in their respective fields and the NACO program has agreed to factor in usage in those institutions' catalogs when making changes to their headings.

CANCELLATION OF NAME AUTHORITY RECORDS

The construction of the master file database utilized by the NAF does not allow for online cancellation of authority records by participants using the bibliographic utilities' software. Therefore, when candidates for deletion are identified (usually because of duplication) NACO participants are encouraged to forward requests for cancellation of NARs to their Coop Cat liaison.

BIBLIOGRAPHIC FILE MAINTENANCE (BFM)

In order that LC bibliographic records (as distributed by CDS) remain in synch with the NAF, we ask that NACO participants notify Coop Cat to perform bibliographic file maintenance if a heading (1XX) is changed and that heading has been used on LC bibliographic records. You may also need to notify or upgrade bibliographic records in the utilities because of these changes.

AUTHORITY (NACO) NORMALIZATION

NACO Normalization is a program requirement that has been agreed to by all copy holding participants of the NAF (LC, OCLC, RLIN) in order to detect duplicate records. This may affect how certain headings and cross references are formulated (e.g., libraries may need to create "non-unique" headings in order to avoid duplicates due to normalization or add certain references only to local files).

CUTTER NUMBERS (053s)

Libraries with large collections of literature often find that the presence of 053s (LC classification number for literary authors) on authority records are helpful in improving the efficacy of their workflow. NACO libraries, while not obligated, are encouraged to add 053s to their newly created authority records for literary authors.

However, in order to maintain the integrity of the LC Classification Schedules, 053s may be added only if these class numbers have appeared on LC-issued records. If a class number has not yet been assigned by LC, the Coop Cat team will provide the LC classification number. Instructions for requesting cutter numbers via the web appear on the NACO homepage on the PCC web site at: http://www.loc.gov/catdir/pcc/053/053prop.html

NAME AUTHORITY RECORD COMPONENTS

SIMILARITIES between NARs and bibliographic records

MARC 21 indicators and variable field tag numbers are the same (i.e., corporate 110 - conference 111 - personal 100)

> **EXCEPTION: 151s (place names) convert to 110s when used as jurisdictions (cf. AACR2 24.3E1)**

MARC 21 subfield codes are the same

AACR2 rules and LC Rule Interpretations as to FORMULATION applied the same for both (Chapters 22-24)

> **EXCEPTION: Additions to ongoing conference hdg. not included in NAR (cf. LCRI24.7B)**

DIFFERENCES between NARs and bibliographic records

No periods at the end of 1XX, 4XX OR 5XX fields (unless field ends with initials or abbreviation)

> **Note: If making a change to a NAR that contains periods at end of field delete period(s)**

Fixed fields are different

Some variable fields are used differently:

> use 4XX for variants NOT series fields
> use 5XX for linking NARs NOT as note fields
> use 6XX FIELDS as note fields not SUBJECT fields

SUBFIELD W used to denote "special relationships" (5XX or 4XX)

RLIN Blank NACO Workform

Fixed fields:

ID: [system supplied]   ST:s   EL:___   STH:___   MS:n   UIP:___   TD:[system supplied]

KRC:___   NMU:a   CRC:c   UPN:___   SBU:a   SBC:_   DID:n   DF:[system supplied]

RFE:___   CSC:c   SRU:b   SRT:n   SRN:n   TSS: n TGA:? ROM:? MOD: [blank]

Variable fields:

0XX ___

040   MARC 21$b eng $c MARC 21

1XX ___

4XX ___

4XX ___

4XX ___

5XX ___

670 ___

670 ___

675 ___

RLIN Sample NACO Workform

Fixed fields:

ID: [system supplied] ST: s   EL: ___   STH:___ MS: n   UIP: __ TD:[system supplied]
KRC: ___   NMU: a   CRC: UPN: ___   SBU: a   SBC:__   DID: n   DF:[system supplied]
RFE: ___   CSC: c   SRU:b SRT:n   SRN: n TSS: n   TGA:? ROM:? MOD:[blank]

Variable fields:

0XX   ___ [system supplied]
040   MARC 21$b eng $c MARC 21 [system supplied]

Heading: (required)

1XX   ___   Heading, established following AACR2 and LCRI's

Cross references

4XX   ___   Simple see references, established following AACR2 and LCRI's

4XX   ___ $ w subfield See references linking pre-AACR2 form of heading (optional)

5XX   ___   Simple see also references

5XX   ___ $ w subfield See also references to other established AACR2 headings (earlier/later)

670 for work cataloged (required)

670   Title of work being cataloged, date of publication: $b location of data (data as found, enclosed in parentheses) location of other data from same work (other data, enclosed in parentheses)

Additional 670s, 675, 667s, etc.

670   File searched, date $ b (hdg.: as found on 1XX, 6XX, 7XX in record; usage: as found in transcribed fields, such as the 245 $ c)

667   Information found to help others, but not biographical data

675   Reference sources where no information was found about this heading; $ a other reference sources, etc.

NACO NORMALIZATION EXERCISE

151		T'bilisi (Georgia)
451		Tiflis (Georgia)
451		Tbilisi (Georgia)
451		Tiflis [OLD CATALOG HEADING]
451		Tbilisi (Georgian S.S.R.) [EARLIER ESTABLISHED FORM]
451		T'blisi (Georgia)

110	2	Ballard-Carlisle Historical & Genealogical Society
410	2	Ballard-Carlisle Historical and Genealogical Society
410	2	Ballard-Carlisle Historical-Genealogical Society

110	1	United States. $b Office of the Under Secretary of Defense, Acquisition
410	1	United States. $b Office of the Under Secretary of Defense for Acquisition
410	1	United States. $b Under Secretary of Defense, Acquisition
410	1	United States. $b Office of the Under Secretary of Defense (Acquisition)

100	1	Torrealba Ramos, Isabela
400	1	Torrealba-Ramos, Isabela
400	1	Ramos, Isabela Torrealba

100	1	Epard, Jean-Luc
400	1	Epard, J.-L. $q (Jean-Luc)
400	1	Epard, Jean Luc

NORMALIZATION: THINGS TO REMEMBER

1. A 4XX may **NOT** normalize to the same string as a 1XX

2. A 4XX may **NOT** normalize to the same string as another string in the same NAR

3. A 4XX **MAY** normalize to the same string as a 4XX in another NAR

4. A 5XX **MUST** match a 1XX on another NAR in the name authority file

5. MARC tags (name heading types) are **NOT** taken into account when comparing heading strings for uniqueness

FIXED FIELD CONVERSION TABLE

OCLC	RLIN	MARC 21	Name of Element	Values
ENC LVL	EL	Leader/17	Encoding Level	o = early notice n = verified*
AUTH/REF	KRC	008/09	Kind of Record	a = heading*
RULES	CRC	008/10	Descriptive Cataloging Rules	a = earlier b = AACR 1 c = AACR 2* d = AACR 2-compatible*
SUBJ	SBC	008/11	Subject Heading System	a = LCSH*
REF STATUS	RFE	008/29	Reference Evaluation	a = valid/evaluated* b = unevaluated n = no references*
UPD STATUS	UIP	008/31	Record Update in Process	a = verified* b = being updated
NAME	UPN	008/32	Undifferentiated Personal Name	a = personal name* b = undifferentiated* n = not personal name*
AUTH STATUS	STH	008/33	Level of establishment	a = full* b = memo c = prov* d = prelim
SOURCE	CSC	008/39	Cataloging Source	[blank] = Natl lib c = PCC library*

*value most likely to be used by PCC library

z:\cat\coop\ttnt\fixed flds universal 2000.wpd dec 19, 2000NACO Day 1, p. 19

"W" CONTROL SUBFIELDS IN 4XX AND 5XX FIELDS

Values

4XX	Byte 0 1st Position	Byte 1 2nd Position	Byte 2 3rd Position	Byte 3 4th Position
	n	n	n a e	n a b

3rd Position:	a = pre-AACR2 heading (linking reference) e = earlier AACR2 heading	
4th Position:	a = reference **not** made (displayed) b = cataloger-generated reference with 664 **(may find, but never make)**	

5XX	a b n	n	n	a c n

1st Position:	a = earlier heading b = later heading n = default	
4th Position:	a = reference **not** made (displayed) **(used in only one case)** c = cataloger-generated reference with 663 **(used with pseudonyms only)**	

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	MARC 21	UTILITY	EXPLANATION
4XX	nnnn	**BLANK**	Simple cross reference Do **not** supply any ǂw values
	nnan	**nna**	Linking reference to a pre-AACR2 heading (optional)
	nnaa	**nnaa**	Pre-AACR2 heading is **not** a valid AACR2 reference
	nnen	**nne**	Valid cross reference was also an earlier AACR2 heading
	nnnb	**nnnb**	Reference not displayed; **664** field used **(may find but never use)**
5XX	nnnn	**BLANK**	Simple see also reference Do **not** supply any ǂw values
	annn	**a**	Earlier heading
	bnnn	**b**	Later heading
	nnnc	**nnnc**	See also reference for pseudonyms (**663** field used)
	nnna bnna anna	**nnna** **bnna** **anna**	Reference not made (displayed) cf. RI26.3B-C(1b), p. 2 **(unlikely ever to use)**

FUNCTIONS OF THE 670 FIELD

♦ To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters), in support of the choice and form of the heading and references.

♦ To store information that may be used to break a conflict later.

♦ To identify a person with a particular work or as an author in a particular discipline or time period.

♦ To identify separate individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings).

♦ To clarify whether different forms of a body's name or of a title are simply variations or reflect a change in the name or title and to identify relationships with other headings.

♦ To record research required by the current rules.

♦ To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate headings and misattributions.

♦ To support machine manipulation based on algorithms using information in the 670.

subfield a (source citation): *Title proper, Date of publication*
subfield b (information found in source): *Specific location of the information found (such as, t.p., jkt., cover, p. 97), information found, enclosed in parentheses*

Example: 670 The new book of electrocardiography, c1994: $b t.p.(Belinda B. Barnes, M.D.) back cover (head of surgery, Arlington Hospital Center, Arl., Va.) p. 3, etc. (b. 1946; d. 1994; heart specialist)

Other special types of citations:

Citing LC records found in OCLC:
670   OCLC, Aug. 18, 1994 $b (hdg.: Root, Elijah Paul, 1882-1947; usage: E.P. Root)

Citing LC Minimal Level cataloging records found in OCLC:
670   OCLC, Aug. 8, 1994 $b (LC MLC hdg.: Knarr, Bruce Alan, 1946-; usage: Bruce Alan Knarr)

Citing the National Union Catalog (NUC) You may see:
670   NUC pre-56 $b (Parker, Sir David Thomas, 1882-)

You may see, but never make citation to the file formerly called LC PREMARC file:
670   LC PREMARC file $b (Rotterdam Tire Co., inc.)]

Citing Old catalog headings from LC's OPAC:
670   LC database, Sept. 24, 1999 $b (hdg: John, William David, 1898- [from old catalog]; usage: not given)

Citing reference sources:
670   Nat. fac. dir., 1994 $b (John W. Smith, prof. of pharmacy, Univ. of Illinois, Urbana-Champaign; Ph. D., 1983 from Univ. of Michigan; b. Dec. 2, 1945)
670   DNB $b (Suarez, Benita; author, poet, musician; b. Mar. 20, 1924 in Los Angeles)

Citing telephone calls:
670   Phone call to T. Solís, Aug. 12, 1994 $b (Theodore Solis, prefers to use form: Ted Solís)

Citing BGN (Board on Geographic Names):
670   BGN, May 23, 1993 $b (Provincia di Varese [Varese = brief]; 44°22'N, 9°37'E)

Citing other files or catalogs:
670   NLC, Aug. 22, 1993 $b (Jones, Phyllis Markham, 1956-)
670   RLIN, Feb. 2, 1987 $b (hdg.: Parker, Bitterhaus & Phlung)
670   NLM files, Mar. 15, 1991 $b (Porterhouse, Phyllis, M.D.)
670   LC database, 18 Aug. 1994 $b (hdg.: Miles, Austin, 1933-; usage: Austin Miles; Kokomo the Clown)

670 (Sources found) : Things to remember

Attributes of the 670 field:

★ a repeatable variable field

★ contains no indicators

★ contains two non-repeatable subfields ($a and $b)

Generally:

♦ Information contained in subfield $a consists of the title proper of item being cataloged or reference source and date of publication (may or may not include the main entry)

♦ Information in subfield $b shows usage of name being established as found on chief source of item being cataloged or in a reference source and may include other information about the person/body being established

♦ Personal names in subfield $b are transcribed "as found" on chief source along with any titles,

etc., variants are transcribed "as found" in other locations within items or in reference source
(i.e., direct order vs inverted construction)

♦ The first 670 corresponds to the item being cataloged (that which caused you the need to establish the heading)

♦ Information found within the item being cataloged is added in the same 670 subfield $b (e.g., variant forms, dates, etc.)

♦ Information in 670s of existing NARs is rarely changed (except for egregious errors)

♦ Information is added to the 670 of a NAR originally created for a CIP item when published item shows variant forms, etc.

EXAMPLE: NAR 670 based on CIP cataloging information:

670 $a Mexican American farm workers, c2000: $b CIP t.p. (Juan Gonzalez, Jr.)

EXAMPLE: NAR 670 modified with information found in published item:

670 $a Mexican American farm workers, c2000: $b CIP t.p. (Juan Gonzalez, Jr.) bk t.p. (Juan L. Gonzales, Jr.)

♦ Additional 670s are generally added in

succession, not inserted before extant 670s

♦ **Date of searching/consultation is added to all non-print citations (e.g., databases, phone calls-- those sources that are dynamic). Include month, day and year**

♦ **Dates in 670s include the month spelled out or abbreviated**

♦ **Subfield $b is not necessary when the exact form of name being established is included in subfield $a (title of item being cataloged) and no other information needs to be recorded, e.g., date of birth, fuller form of name, loc. of corporate body or place**

Example: 670 $a   A biography of Ralph Waldo Emerson, 1921.

♦ **Except for the parentheses in the subfield $b, there is no prescribed punctuation in the 670**

Generally:

Punctuation should help set off information so that data provided is clear to users of the authority file who do not have the same item in hand (e.g., date of publication preceded by a comma

helps the user to know that the date is not part of the title)

Location data and other information in subfield $b may be abbreviated so long as it is clear what is meant

If information provided is not in English avoid abbreviations when these might be confusing

Information found in different locations within the same item may be given within its own set of parentheses preceded by the location where information was found
     Example:

> 670 $a The filming of The day the earth stood still, 1998 $b t.p. (Michael Rennie) jkt (Michael J. Rennie; Ph.D., actor)

Location information is not needed when citing a database or alphabetical reference source

> 670 $a   WWW, The day the earth stood still home page, Aug. 10, 2000 $b (Michael Rennie; b. 1925; d. 1954)

When citing OCLC, RLIN or other bibliographic data bases cite usage to reinforce choice of heading (cf. DCM Z1 p. 6)

670 $a OCLC data base, May 10, 2000 $b (hdg.: Rennie, Michael James, 1925-; usage: Michael Rennie)

REMEMBER:

The required elements in the 670 are:

The title proper of the item being cataloged

The date of publication of the item

Citation of the name being established in parentheses (generally but not always from chief source) except as noted above, when all information is given in the title

Other information required as needed:

Justification of the variant forms of names

Justification of titles, dates, fuller forms of name, etc. when included as part of headings or in references either from the chief sources of information or from other locations

Reference source citations, etc.

NOTE: Other information that would be useful to

properly identify a person/corporate body or resolve a future conflict (if readily available) should be supplied in subfield $b. Such information may include:

> fuller/variant form of name not used in heading or reference
> location/date of founding of a corporate body
> title associated with name (but not used in 1xx),
> highest academic degree received,
> birth place/location of corp. body
> current place of residence or work
> areas of interest unrelated to authorship,

670 $a Angels dancing on the head of a pin, 1900: $b (Angela Jones) front flap (MBA Univ. of Tex., Austin; b. in Puerto Rico; res. in Fargo, N.D.; breeds horses)

Remember:

A NAR does not stand as a biographical or historical record of person or corporate body. Do not routinely supply such information

NACO encourages the use of macros and other time saving, cost effective devices in the creation of NARs.

Attributes & Functions of the 675 Field

675 (Sources not found) :

Attributes:

★ **a non repeatable variable field**

★ **contains no indicators**

★ **the subfield $a is repeatable and is the only subfield allowed**

Note: information which would be given in a subfield $b of a 670 should be included as part of subfield $a in the 675 (especially when justifying earlier/later links (cf. LCRI 26.3 B-C p. 2, no. b))

675 Functions:

♦ **To record bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters)**

♦ **To show the need for creating a non-differentiated personal name authority record**

♦ **To save other catalogers the time of checking the same source**

♦To show that no information was found to support the choice/form of the 1xx

♦To show that no information was found to support the choice/form of the 1xx
(cf. LCRI 26.3 B-C p. 2, no. b)

SAMPLE NAR for earlier/later citation:

110 2 $a State Botanical Garden of Georgia

510 2 $a University of Georgia. $b Botanical Garden $w b

670 $a Flora and fauna of the State Botanical Garden of Georgia, 1989.

675 $a Strawberry fields forever, 2001: t.p. (Botanical Garden of the University of Georgia)

Attributes & Functions of the 667 Field

667 (Non-public note)

Attributes:

★ **Repeatable variable field**

★ **Contains no indicators**

★ **Non-repeatable subfield $a is the only subfield allowed**

667 Most Common Functions:

♦ **To assert that different authority records with similar names have been determined to be unique:**

```
100 1  Jones, George W., $d 1945-
667    Not the same as: Jones, George W. (n96012345)
```

♦ **To record that not enough information was available to make such a determination:**

```
100 1  Jones, George W., $d 1945-
667    Cannot determine if same person as: Jones, George W.
       (n96012345)
```

♦ **To help catalogers by recording information to**

reflect a possible change in the name of corporate body and/or possible relationships with other headings

♦ To record non-biographical, non-historical information which may be helpful to determine why NAR was coded "provisional" (008/33=c) or "preliminary" (008/33 =d)

667 Not enough information to establish parent body in French

667 Data contributed by the Dance Heritage Coalition for the New York Public Library Dance Collection.

670-675-667 things to remember.wpd

Machine-Derived Name Authority Records

As a result of a joint research project between the Library of Congress and OCLC, LC has begun loading machine-derived name authority records into its Name Authority File. The first of the machine-derived name authority records are distributed in this issue of MDS-Names (volume 20, issue 51). Approximately 66,000 records for personal names, corporate bodies, and uniform titles will be loaded, 1,000 to 3,000 per day until all the records have been added to the Name Authority File. As the records are loaded they will be distributed.

Background

The project is beginning with music records because, according to established guidelines, the music catalogers do not create authority records for all uniform titles used in bibliographic records. For authority control of these uniform titles, the bibliographic file in conjunction with the authority file has served as the authoritative source for all the music uniform titles. As a result of the research project, several thousand bibliographic records which have not been examined by Library of Congress catalogers will be added to the LC Music File. In order for the music catalogers to continue to have workable access to authoritative headings, the headings currently in the LC Music File not covered by authority records will have machine-derived authority records created for them.

The Process

OCLC is comparing the headings (personal names, corporate names, and name/uniform titles) currently in LC's Music File against the Name Authority

File.   Those headings not covered by authority records will have machine-derived authority records created for them.

The machine-derived authority records will include a 1XX field, a 670, and a 667 with the legend "Machine-derived authority record." Field 670 will contain the legend "LCCN," the LCCN of the source record, a shortened form of the 1XX main entry (if there is one) of the bibliographic record, a title citation which will include data from the 245 subfield $a, a date, and if the heading appears in subfield $c of field 245, a usage citation. The 1XX main entry is included because it was determined that with the high number of music records that contain a non-distinctive 245 title, the additional information could be essential in many instances to identify the source record. The date is taken from the 008/7-10 of the source bibliographic record. In some instances, cross references may be generated if certain formulaic situations occur, such as a compound surname. The level of establishment of these records in the 008/33 will be "d" for "Preliminary".

These records will be used, modified, and upgraded according to normal LC/NACO authority procedures. However, if appropriate, the "Preliminary" coding in the 008/33 should be replaced. If a more established level for these machine-derived authority records becomes available, the legend "Machine-derived authority record" will be removed from field 667 and replaced by an appropriate fixed field code.

Questions regarding the machine-generated music uniform title records can be directed to:

> Deta S. Davis
> Special Materials Cataloging Division
> Library of Congress
> Washington, DC 20540-4373
>
> email: ddav@loc.gov
> phone: (202) 707-5259

December 1997

MACHINE-DERIVED NAME AUTHORITY RECORD–TWO VIEWS

OCLC

LC/NACO – NAME

ARN: 4649744

Rec stat: c   Entered: 19980204

▶ Type: z   Upd status: a   Enc lvl: n   Source: c

Roman: ■   Ref status: n   Mod rec: Name use: a

Govt agn: ■   Auth status: a   Subj: a   Subj use: a

Series: n   Auth/ref:_   a   Geo subd: n   Ser use: b

Ser num: n   Name: a   Subdiv tp: n   Rules: c ¶

▶ 1 010   no 98061016 ¶

▶ 2 040   OCoLC ≠c OCoLC ≠d DLC ¶

▶ 3 005   19980319132638.9 ¶

▶ 4 100 1   Solare, Juan-Mar´ia ¶

▶ 5 667   Machine-derived authority record. ¶

▶ 6 670   LCCN 97-706392: Solare, J. Seis bagatelas (1987) f¨ur
Fl¨otentrio, c1996: ≠b (usage: Juan-Mar´ia Solare) ¶

▶ 7 670   His Suite modal, c1995: ≠b cover (Juan-Mar´ia Solare)
Harrassowitz slip (b. 1966) ¶

RLIN

NAF/SAVE NAF   FUL   NAF09861016   Authorities   DCLH-B
Invalid in this function

ID:NAF09861016   ST:p   EL:n   STH:a   MS:c   UIP:a   TD:1998031913263
KRC:a   NMU:a   CRC:c   UPN:a   SBU:a   SBC:a   DID:n   DF:02-04-98
RFE:n CSC:c SRU:b   SRT:n   SRN:n   TSS:?   TGA:?   ROM:?   MOD: LCT:
VST:d 03-19-98   Other Versions: earlier
010   no 98061016
035   (OCoLC)oca04649744
040   OCoLC‡cOCoLC‡dDLC
100 10 Solare,.Juan-Mar_ia
667   Machine-derived authority record.
670   LCCN 97-706392: Solare, J. Seis bagatelas (1987) f¨ur Fl¨otentr.io, c
    96:‡b(usage: Juan-Mar´ia Solare)
670   His Suite modal, c1995:‡bcover (Juan-Mar´ia Solare) Harrassowitz sli
    (b. 1966)

September 13, 1999

NOTE: The record above, shown in versions for both
utilities, was created originally as a machine-derived
authority record in a special project. It has been
modified by the addition of a 670 for an item in hand,
with the resulting change in code from d (preliminary) to
a (full) in Auth Status and STH. The 667 should have
been removed when the record was updated.

Content Designation Exercise : Personal Names

1. 100 1   O'Connor, Sandra Day, $d 1930-

2. 1__ __   Jones, R. M.   (Ronald Mervyn)

3. 1__ __   Le Bret, Monsieur, (Alexis-Jean), 1693-1772?

4. 1__ __   Al-Jamali, Abbas F., 1943-

5. 1__ __   West, Mrs. (Jane), 1758-1852
    4__ __   Author of The loyalists, 1758-1852
    4__ __   Loyalists, Author of the, 1758-1852
    4__ __   Advantages of education, Author of, 1758-1852

6. 1__ __   Bonaventure, Father, O.F.M., 1885-1967

7. 1__ __   Presley, Elvis, 1935-1977 (Spirit)

8. 4__ __   Baldung, Hans, called Grien, d. 1545 *[linking ref.]* $w

9. 1__ __   Doyle, Arthur Conan, Sir, 1859-1930 (Spirit)

10. 1__ __   Davies, Edward J., II, 1947-

11. 1__ __   Proust, Marcel, 1871-1922. Amour de Swann. English
    4__ __   Proust, Marcel, 1871-1922. Du cote de chez Swann.
               Amour de Swann. English

12. 1__ __   Giles, of Rome, Archbishop of Bourges, ca. 1243-1316.
               Works. 1985

13. 1__ __   Llorens Torres, Luis, 1876-1944. Selections. 1986

14. 1__ __   Poe, Edgar Allan, 1809-1849. Poems. French.
               Selections

15. 1__ __   Blake, Wendon. Seascapes in watercolor
    4__ __   Blake, Wendon. Watercolor painting book. 3,
               Seascapes in watercolor

16. 1__ __   Trudeau, G. B., 1948- Doonesbury book. Italian.
               Selections

Content Designation Exercise : Corporate Names and Uniform Titles

1.   1_ _   First African Baptist Church   (Tuscaloosa, Ala.)

2.   1_ _   Kenya.   Constitution   (1979)

3.   1_ _   Western Association of Fish and Wildlife Agencies (U.S.).   Conference
   4_ _   Conference of the Western Association of Fish and Wildlife Agencies

4.   1_ _   International Conference on Transportation for the Nuclear Industry   (1st :   1988 :   Stratford-Upon-Avon, England)

5.   1_ _   ELMIA-AVFALL 79   (1979 :   Jőnkőping, Sweden)
   4_ _   Congress "Elmia-Avfall '79   (1979 :   Jőnkőping, Sweden)

6.   1_ _   Women's Week 1984   (1984 :   Montgomery College)

7.   1_ _   Biennale d'arte antica   *(Hint: Conference name)*
   4_ _   Bologna .   Biennale d'arte antica   *[linking ref.]* $w

8.   1_ _   Bible.   English.   Authorized Version.   1994

9.   1_ _   Journal   (Historical Society of Long Beach)

10.   1_ _   Treaty of Amiens   (1802)

11.   1_ _   Hawick   (Scotland)
    4_ _   Hawick   (Roxburghshire)   *[prev. AA2 hdg.]* $w
    4_ _   Hawick, Scot   *[linking ref.]* $w

12.   1_ _   Thompson, Tommy George,   1941-
    5_ _   Wisconsin.   Governor (1987- :   Thompson)

13.   1_ _   State Botanical Garden of Georgia
    4_ _   Georgia.   State Botanical Garden

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO : Distribution

DATE: July 30, 1996

VIA : Barbara B. Tillett
Chief,
Cataloging Policy and Support Office

FROM : Lynn M. El-Hoshy
Senior Cataloging Policy Specialist
Cataloging Policy and Support Office

SUBJECT: Implementation of Changes regarding "Headings for Certain Entities"

In March, Robert M. Hiatt announced that the Executive Council of the Program for Cooperative Cataloging had approved the recommendations of the PCC Task Group on Name Versus Subject Authorities. In April, he circulated drafts of DCM Z11 and LCRI 23.1, 23.4F2, and 24.1, and a new LCRI 24.7 that were written to effect the changes recommended by the group. Based on comments received from staff at LC and cooperating libraries, those documents were revised and are now available for distribution. The cataloging policies stated in them regarding "Headings for Certain Entities" are being implemented effective August 1, 1996. In addition, corresponding instruction sheets from the *Subject Cataloging Manual: Subject Headings* (H 405, H 720, H 1365 and H 1592) were rewritten to reflect the new policies and will be distributed when the 5th edition of the manual is ready in the fall.

Headings for cemeteries, city sections, concentration camps, and country clubs, which were formerly listed as "Group 3" on Z11 and H 405 and represented by authority records that could reside in either the name authority file or the subject authority file, will henceforth be established only in the name authority file. In addition, the tags of headings for cemeteries, concentration camps, and country clubs will change from 151 to 110, and the headings will be formulated in accordance with general rules for corporate name headings and the appropriate LCRI. Headings for events that are formally convened, directed toward a common goal, and capable of being reconvened, and that have formal names, locations, and dates that can be determined in advance will now be established in the name authority file according to the provisions of chapter 24, AACR2 and LCRI 24.7 and 24.8 and will be tagged as 111. This category includes sporting events, parades, and contests that have previously been established in the subject authority file. Events that generally cannot be repeated and have formal names only after the fact, including natural and man-made disasters, riots, battles, reigns, and rules, will remain as subjects.

After August 1, 1996, all new headings for cemeteries, city sections, concentration camps, country clubs, and formally organized events of the type described above should be established in the name authority file. Existing records for cemeteries that are in the subject authority file will be transferred by staff of the Subject Headings Editorial Team in CPSO as a project. Headings for city sections, concentration camps, and organized events that are now established as subjects should be cancelled from the subject authority file and re-established in the name authority file according to the procedures given in DCM Z11 as they are needed for use in current cataloging.

Distribution:

ASCD (8)
HLCD (9)
RCCD (10)
SMCD (6)
SRD (5)
SSCD (8)

Beacher Wiggins, LS CAT
Susan Morris, LS CAT
John Byrum, RCCD
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Irene Schubert, PMO
Linda Stubbs, MBRS
Mike Walsh, ORD
Vicky Wulff, MUS
Emily Zehmer, MSS

SEARCHING

WHY SEARCH:

To prevent duplication

To gather additional information from existing headings on bib records to assure proper choice and form of heading

To report Bibliographic File Maintenance (BFM) if necessary

WHERE TO SEARCH:

National level name authority file (NAF)
(FOR 1XX, 4XX, AND 5XX)

Bibliographic files in utility

Your local files

Optionally: LC Database via Web OPAC

WHAT TO SEARCH:

1XX
4XX   *(Remember to consider NACO Normalization!)*
5XX

DEFINING YOUR "UNIVERSE"

MUST search NATIONAL AUTHORITY FILE

MUST search for headings on bib records with 040 $c DLC or $d DLC. LC bib records with headings marked [from old catalog] may not be eligible for BFM.

MAY include headings found on non-LC records in utilities and local files.

REMEMBER TO SEARCH CROSS REFERENCES AS WELL AS HEADINGS!

24 HOUR RULE
TO AVOID DUPLICATE HEADINGS

Every 24 hours, the database changes.

Searches to avoid duplication are valid only for 24 hours.

If a NAR is saved longer than 24 hours before contribution, search again.

Search 1xx, 4xx, and 5xx in bib and authority files.

BIBLIOGRAPHIC FILE MAINTENANCE (BFM)

NACO Requirements:

A NACO library need not contribute a NAR for every name encountered in its cataloging stream. Some libraries do NACO work on selected portions of their collections. However, once a NACO library contributes or changes a NAR, it also commits itself to helping the Library of Congress keep the national database under authority control by sending BFM reports to the LC Coop Team liaison.

Authority control =   access points on bibliographic records match headings in established authority records

When to report BFM:

Search in RLIN for bib records related to the NAR.

If the 1xx on the new or changed NAR **matches** headings on the related bibliographic records, no BFM is needed.

If the 1xx on the new or changed NAR **does not match** headings on the related bibliographic records, check the bib record's 040 to determine if the record is in the national database at the Library of Congress.

In RLIN, LC records are indicated by "DLC-R" in the 040.

Please report BFM if the record's 040 contains **either $c DLC-R or $d DLC-R.**

Example of email message:

To:	[Coop NACO liaison]
Subject:	BFM (Optionally, include a record number: n94104155)
Message:	n94104155 Wesberg, David, 1964- on bib records 94-221725, 95-167060

***Reminder: always include the NAR's prefix and id numbers, and all or part of the name. Optionally, include bib record id numbers.

Headings labeled "[from old catalog]" found in the LC Online Catalog:
NACO libraries are not required to search the LC online catalog for their NACO work. The LC online catalog contains older records with headings which may not match NARs in the National Authority File. Further information about these headings and related BFM can be found in the "FAQ on Reporting BFM" found on the PCC web page.

PROGRAM FOR
Cooperative Cataloging

PCC Frequently Asked Questions

FAQ on Reporting BFM
including headings labelled "[from old catalog]"

1. What is the "universe for cataloging" as defined for NACO catalogers?

2. Are NACO participants required to search the LC database in order to report BFM?

3. What changes have taken place in the LC database since the implementation of the new system?

4. How are these old catalog records identified in the LC Online Catalog?

5. When creating/modifying a heading for NACO contribution should participants report BFM on "from old catalog" and/or "oclcrep" headings found in the LC Online catalog?

6. Are "from old catalog" heading considered in the universe for conflict when formulating new name authority headings and references?

7. When creating a new heading which conflicts with other headings, could information "from old catalog" headings be used?

8. When "from old catalog" heading(s) are found to be out of synch with the authorized form(s) or not authorized should these be reported to the Coop Team or to CPSO?

9. Is there any hope that the utilities or LC will implement programming which will eliminate the need for reporting BFM?

---

1. What is the "universe for cataloging" as defined for NACO catalogers?

For NACO participants typically the universe for cataloging is defined as the utility through which NARs are contributed to the NAF. For the majority of NACO catalogers this means either OCLC or RLIN. This is because these utilities hold current copies of the LC bibliographic and authority files. Few local catalogs meet this requirement which means that catalogers cannot

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consider their local database as the "universe for cataloging". The NACO parameter accepted by all participants requires NACO catalogers to report BFM to LC when a heading on an LC bibliographic record is out of synch with a newly created or modified NAR, but this does **not** mean that participants are required to search the LC database.

2. **Are NACO participants required to search the LC database in order to report BFM?**

No, searching the LC Online Catalog is not a requirement for NACO participation and the PCC does not encourage libraries to search beyond their immediate "universe for cataloging" in order to determine the form of a heading. LC distributes its cataloging to OCLC and RLG on a regular basis. Nonetheless, since NACO catalogers often search the LC database anyway, we have devised this FAQ to help catalogers interpret the information found in the current LC online database.

3. **What changes have taken place in the LC database since the implementation of the new system?**

With the implementation of the Library of Congress' new integrated library system (ILS), searchers of the Library of Congress Online Catalog will encounter many different types of bibliographic records that they may not have encountered when searching under the previous system, MUMS. NACO libraries have asked questions about the handling and disposition of headings that include the legend "[from old catalog]" at the end of the heading, as well as a group of pre-1981 records with obsolete headings. The following questions numbered 4-8 of the FAQ will clarify what to do when these headings are encountered by NACO catalogers.

4. **How are these old catalog records identified in the LC Online Catalog?**

Within the LC Online Catalog, these old bibliographic records can be divided into two large groups:

   A. 3.2 million bibliographic records for which most of the headings contain the legend "[from old catalog]" in the final subfield. These records have not been distributed by CDS and will not be found (as LC-issued records) in the bibliographic utilities.

   B. Another 1.8 million records in the LC Online Catalog are identified by the code "oclcrep" in subfield "c" of the MARC local field 906. This 906 field is viewable in the LC Online Catalog only by selecting the "MARC Tags" tab when viewing an individual record. The headings on these bibliographic record will **not** include any special legends. At least initially, these records have not been distributed by CDS as LC-issued records; however, as changes are made to them on an ongoing basis, they will be candidates for distribution by CDS. The result will be that an increasing number of these records will eventually be represented on the bibliographic utilities.

Back to Questions

5. **When creating/modifying a heading for NACO contribution should participants report BFM on "from old catalog" and/or "oclcrep" headings found in the LC Online catalog?**

No. At this time the guidelines for reporting BFM remain the same as before

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the introduction of the LC ILS. Under MUMS, these records were excluded from BFM because the records were considered "retrospective" and not "active." This distinction will continue until further notice, so **it is only necessary to report BFM on DLC records you see in your utility**.

6. **Are old catalog records to be considered in the universe for conflict in determining AACR2 formulation of new name authority headings and references (e.g., for the addition of dates, fuller forms of name)?**

> Unless your database of record is the LC Database (e.g., the catalog in which you are performing your cataloging), it is **not** necessary to take headings on these older records into account when determining the form of headings.
>
> Note that the LC Online Catalog should **not** be considered the "database of record" for NACO participants, given the large number of authorized headings that do not display in that catalog (headings that have not been used on LC bibliographic records currently will display only in the staff modules used by LC staff, not to NACO libraries using the Web OPAC or accessing the LC Online Catalog via Z39.50).
>
> Searching the LC Online Catalog is not a requirement for NACO participation and the PCC does not encourage libraries to search beyond their immediate database of record in order to determine the form of a heading.

Back to Questions

7. **When creating a new heading which conflicts with other headings, could information from the old catalog headings found in the LC ILS be used?**

> In the case of conflict resolution, the LC Online Catalog may be used as a reference tool. Care must be taken when using information found on old catalog records, in part because the records may not reflect the latest official version and in part because of the unreliable aspects of some of the data. If citing these records we suggest the following:
>
> > o 670 $a LC database, date $b (**hdg.: ... [from old catalog]**)
>
> Other reference sources such as biographical dictionaries or the printed version of the National Union Catalog would be more authoritative.

Back to Questions

8. **When "from old catalog" heading(s) are found to be out of synch with the authorized form(s) or not authorized should these be reported to the Coop Team or to CPSO?**

> **No.** LC is aware that with the integration of its catalogs the access points on bibliographic records may not be consistent with the authority file(s). Over time, LC plans to embark on special projects to bring these headings under authority control. If a search in the LC Online Catalog leads to a heading labeled "[old catalog heading]" (either name or subject) which is out of synch with the current form in the authority file(s) or not present in the authority file(s) please **do not report** these to the Coop Team or to CPSO. These reports will not be acted on and will only prove frustrating to both the sender and the receiver.

9. **Is there any hope that the utilities or LC will implement programming which will**

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eliminate the need for reporting BFM?

OCLC recently announced that it has developed and implemented programming which will allow global heading changes and therefore eliminate the need for OCLC members to report BFM to OCLC. This change will only occur when a modification is made to the 1XX of an extant authority record and there are bibliographic records with that same heading in the OCLC WorldCat. LC is currently working with its vendor to implement a global change program; however, as with the OCLC programming, even when this capability is available the need for reporting BFM will not be entirely eliminated. For example, modifications to headings which currently reside in a nondifferentiated NAR or new headings that do not match exactly the corresponding heading in an extant bibliographic record will **not automatically queue** a global BFM without human intervention. With the implementation of the LC-ILS, CPSO prepared a statement about the NACO requirements for reporting BFM which contains some information on this question.

Go to:
Program for Cooperative Cataloging Home Page
Library of Congress Home Page

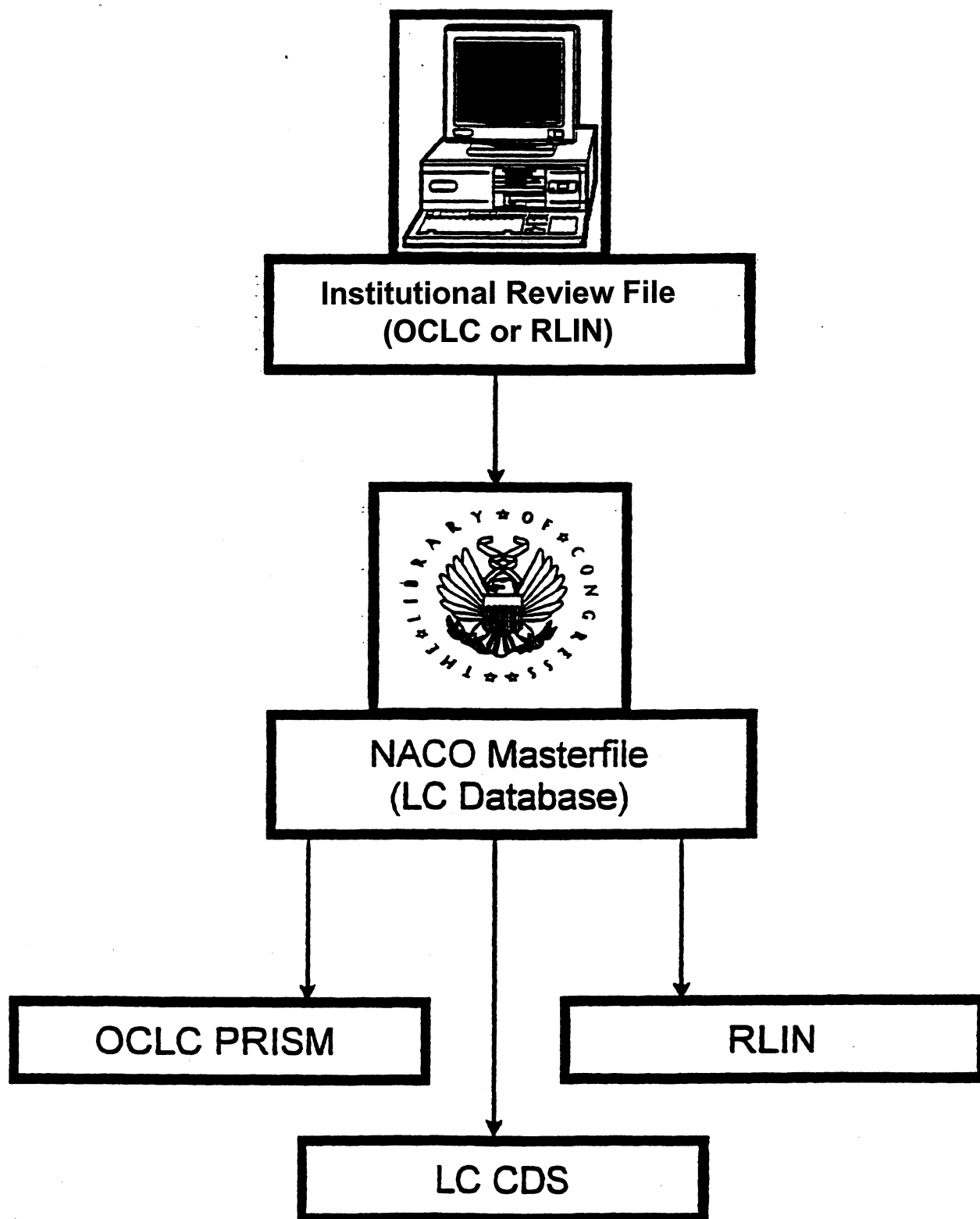**Library of Congress**
Comments: lcweb@loc.gov (12/04/01)

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NACO Record Contribution and Distribution

Institutional Review File
(OCLC or RLIN)

NACO Masterfile
(LC Database)

OCLC PRISM

RLIN

LC CDS

RLIN SEARCHING

NACO Searching and Inputting In RLIN[1]

This section includes:
    searching
    inputting new records
    fixed fields
    variable fields
    inputting changed records
    reviewing
    contributing
    deleting records
    canceling transactions

SEARCHING

Before inputting the authority record, search the following:

1.   The RLIN bibliographic files, to determine if the heading appears in an LC bibliographic record.

This is a good opportunity to find variant forms of the heading you are establishing. Do a "fin pn" or "fin pe" search as well as a "fin sp" search, in order to see if the name appears as a subject heading in an LC record.

2.   The RLIN authority file, to determine if the heading has been added since you last searched.

REMINDER: The most effective search for voluminous author composer is the "bro hp" search because the results will display in alphabetical order:

        bro hp beethoven ludwig

Only 20 headings will be listed at a time. Type "+" or "-" and then enter to see the next or previous 20 headings.

It is possible to construct the "bro hp" search to get to the point in the alphabet where the title you are searching falls. Type dates with no dashes and no spaces:

bro hp beethoven ludwig van 17701827 concertos piano

REMINDER: Search first and/or last names with dashes without the dash and without a space:

heading:

Eckhardt-Gramatte, S.C. $q (Sophie-Carmen), $d 1899-1974. $t Sonatas

search value:

bro hp eckardtgramatte s c sophiecarmen 18991974 sonatas

3.   Saved records in the RLIN authority file, to determine if another RLIN library has input the heading since you last searched.

Saved records include headings that have been:

Input but not contributed (saved)
Contributed but not yet distributed to the LC database (pending)

REMEMBER: The only search that is possible for saved records is the "fin prp" (pending record phrase, or those existing records that you have changed) search:

fin prp hiltner beate#

You can also search for your own saved records only by doing the "fin st s" search. The PVRs will be listed first, with the new headings displayed in reverse chronological order in which you input them. To look at a record, type "dis [number]".

INPUTTING New Records

After completing the searching, set the mode to save ("set mod sav"). If your default setting is "pro," you can call RLIN and ask them to change it to "sav." This is recommended, since it is easy to input and enter a record, only to discover that you are in produce mode rather than save.

REMEMBER: An authority record cannot be updated once it has been produced until it has been sent to LC and distributed back to RLIN.

REMEMBER: New records in the save file cannot be retrieved by using the "bro hp" search. You and other RLIN users can retrieve them by using the "fin prp" search.

To create a record, type "cre." **Unlike the bibliographic file, you cannot do a "cre *" in the authority file.** A blank record will be displayed.

FIXED FIELDS

Some fixed field values appear by default when the blank workform is displayed:

```
-----------------------------------------------------------------------
ID:               ST: s*   EL: n    STH: a   MS: n   UIP: a   TD:
KRC: a  NMU: a    CRC: c   UPN: a   SBU: a   SBC: n  DID:     DF: xx-xx-xx
RFE:    CSC:      SRU: b   SRT: n   SRN: n   TSS: ?  TGA: ?   ROM:  MOD:
-----------------------------------------------------------------------
```

* This defaults to s when in save mode and p when in production mode. "P" can be changed to "s" or "s" to "p" in production mode.

ST = status:	s = save
	p = produce
MS = record status	n = new
MNU = heading use code	a = can be used as main or added entry
CRC = rules	c = AACR2
	d = AACR2 compatible. **Remember:** Use "d" only when creating name/title NARs and the name of a person is coded AACR2 compatible and/or when establishing subordinate units of parent corporate bodies coded "d."
SBU = heading use code	a = can be used as subject heading
DID = geographic subd.	n = cannot be subdivided geographically
CSC = cataloging source	c = LC cooperative cataloging program

SRU = heading use code   b = cannot be used as series added entry

SRT = type of series   n = not applicable

SRN = numbered series   a = numbered
                         b = unnumbered
                         n = not applicable

TSS = type of subject   n = not applicable
    subdivision

TGA = type of   ? = fill character
    government agency

ROM = romanization   ? = fill character

The following fixed field elements are most likely to differ from record to record for name and name/title headings:

```
------------------------------------------------------------------
ID:              ST: s  EL:   STH:    MS:   UIP:  TD:
KRC:   NMU:      CRC: c UPN: a SBU:   SBC:  DID:  DF:
RFE: a CSC:      SRU:   SRT:  SRN:    TSS:  TGA:  ROM:  MOD:
-----------------------------------------------------
```

ST = status: s = save
                 p = produce

CRC = rules   c = AACR2
                 d = AACR2 compatible. **Remember:** Use "d"
                 only when creating name/title NARs and the name of a person is
                 coded AACR2 compatible and/or when establishing subordinate units
                 of parent corporate bodies coded "d."

UPN = unique name   a = unique personal name
                     b = undifferentiated personal name
                     n = not a personal name heading; use for corporate   n a m e
                     heading or series heading

RFE = references   a = reference(s)
                     n = no references

Some fixed field values will need to be added, but will generally be the same for name and name/title records:

```
-------------------------------------------------------------------
ID:            ST:     EL: n STH: a  MS:    UIP: a  TD:
KRC: a NMU:    CRC:    UPN:   SBU:   SBC: a DID:    DF:
RFE:   CSC:    SRU:    SRT:   SRN:   TSS:   TGA:    ROM:  MOD:
-------------------------------------------------------------------
```

EL = encoding level   n = complete authority record

STH = level of establishment   a = fully established record

UIP = record update in process   a = record can be used
                                        b = record is being updated

KRC = kind of record   a = established heading record

SBC = subject heading system   a = LCSH

VARIABLE FIELDS

Spacing of variable fields:

The spacing should be done as in the bibliographic file: no spaces preceding or following the subfields:

100 10 Schnittke, Albert,$d1934-$tAphorismen

REMEMBER: As in the bibliographic file, there is no word wrap in the authority file.

Be aware of these problems:

No space between words when one word is at the end of a line and the other is at the beginning of the next line.

More than one space between words when one word is at the end of a line and the other is at the beginning of the next line.

Typos that are hard to spot because the word is broken between two lines.

040:
The 040 $a and $c will be supplied by RLIN. Be sure that your correct MARC identification code is prompted. If the correct MARC identification code is not being prompted, contact RLG.

1XX, 4XX, 5XX fields:

The second indicator is always blank.

The 1XX, 4XX, and 5XX fields do not end with a period unless the final element is an initial or abbreviation:

100 1   Koth, Michelle S.

100 1   Jolas, Betsy.$tQuartets,$mstrings;$oarr.

670 fields:
Both indicators are blank. End the field with a) or with a period. See the NACO Participants' Manual for more information about creating 670 fields.

675 fields:
Both indicators are blank. Separate each element with a semicolon and subfield a. Final punctuation is optional at the end of this field.

675   New Grove;$aMGG;$aBaker, 8th ed.

Inputting Changed Records

PVRs (Previously Verified Records)

Set the mode to save ("set mod sav"). Call up the record and type "upd":

fin id nafx_____/upd

RLIN automatically adds your MARC identification code to subfield d of the 040 field. Be sure that the correct MARC identification code for your contribution is prompted. If the correct MARC identification code is not being prompted, contact RLG.

```
---------------------------------------------------------------
ID:            ST:    EL:   STH:   MS:   UIP:   TD:
KRC:  NMU:     CRC:   UPN:  SBU:   SBC:  DID:   DF:
RFE:  CSC:     SRU:   SRT:  SRN:   TSS:  TGA:   ROM:  MOD:
---------------------------------------------------------------
```

RFE = references   a = includes references
                        b = does not include references

The other fixed field element that is affected is MS, record status. RLIN will automatically change it from "n" (new) to "c" (changed), if the record has not already been updated.

REMEMBER: You can retrieve the headings in a saved changed record by using the "fin prp" search. Your PVRs can also be retrieved, with your changes before they are contributed, by other RLIN users, by using the "bro hp" search, even while the record is in save.

REVIEWING

If you are still under quality review, after you have input new or changed headings, report them via email to your reviewer. Give the RLIN ID and any comments you have about the heading. These comments can concern:

Why you selected the 1XX as the heading, when it might not be clear from the 670 fields

Cite any rules or RIs that justify the 1XX, 4XX, or 5XX fields, when it is something not usually encountered. If there are questions, the reviewer may ask you to find the rule or RI that justifies the heading or reference you have created.

CONTRIBUTING

As in the bibliographic file, only those persons with access to your account can update or contribute your new records. If you contribute the records on any day past the date of input, you need to search both the authority file and the PRP index to ensure that they have not been input and/or contributed by another library since you input them.

To contribute records, set the mode to "pro." If you try to contribute in save mode, even if the ST code is changed to "p", pressing enter will generate an error message. The most economical way to retrieve your saved records is to do a "fin st s" search.

To contribute a record, ask for it to display ("dis [number]") and update:
      "dis 1/upd"

Change ST to p, make any changes needed, and enter. If you ask for the record to be displayed again ("ent/dis"), it will display with the message "Pending record." If you have not changed ST (status) to "p" or are not in produce mode, the message will be "Saved record."

DELETING RECORDS

You may wish to delete saved records for a number of reasons:
1.   The heading has already been contributed by another library
2.   You have created an inadvertent duplicate record
3.   You changed your mind
4.   You decided not to create the record until you complete your research, etc.

To delete a saved record, request to update the record. Go to the last line and add an INS field as shown below:

100 1   Last, First M.
670 __   Last, F.M. Title, date:$bt.p. (First M. Last)
INS __   D

REMEMBER: Changes made to an existing record can be removed in the same manner.

CANCELLING TRANSACTIONS

If you call up a record to update it, and you retrieve and request the update on the wrong record, type "can" (cancel) and enter.

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[1]Based on a document written by Mickey Koth for Yale University Library's website (http://www.yale.edu/cataloging/authorities/rlinnaco.htm)

MORE RLIN SEARCHING TIPS[2]

Prefer a broader over a narrower search to ensure comprehensiveness.

Use boolean operators to batch searches (e.g., fin pn xxx or spxxx#)

Chain commands using a forward slash (e.g., fin id xxx/upd).

Take advantage of free searches (fin st s, fin prp) and 1/2 price searches (fin id).

Look for typos before you enter a search.

Remember that you can copy and paste in a Windows environment to save keystrokes.

Remember to search both the name and subject indexes in all of the bibliographic files to find LC headings and other useful information.

RLIN for WINDOWS, Version 5[2]

This document includes the following sections:

logon & logoff
searching strategies
      indexes in both the bibliographic and authority files
            personal name
            corporate name
            title
            subject
            record number
            record status
      additional indexes in the authority file only
            heading phrase
            pending record phrase
manipulating searches
      truncation (#)
      Boolean operators (and, or, not)
      also (/als)
      resume (res)
displaying results
      bibliographic files
      authority files
inputting
      modes
      transactions
      navigating
      special characters
      copying & deleting text
      record management

LOGON & LOGOFF: (may be system-specific)

To Logon, double click on the "RLIN for Windows" icon, click "Open," and then press the "Enter" key to get an account prompt.

Type your "account/password" and then press the "+" key on the numeric keypad to get

the command prompt. Always use the "+" key on the numeric keypad to enter a typed command.

To Logoff, click on the "Session" menu, then "Exit," and then "Yes" to exit a session and close RLIN. If you simply want to exit a session without closing RLIN, type "logoff."

SELECTING FILES:

Bibliographic Files (bks, ser, amc, map, vim, sco, rec, mdf)

cal rlin (cat)
sho set (to view default setup or currently selected files)
sel fil xxx (to deviate from default setup or currently selected files; possible values for xxx are: bks, ser, amc, map, vim, sco, rec, mdf)

Authority Files (naf, saf)

cal rlin (aut)
sho set (to view default setup or currently selected files)
sel fil xxx (to deviate from default setup or currently selected files; possible values for xxx are: naf, saf)

SEARCHING STRATEGIES

Indexes in Both the Bibliographic and Authority Files

Personal Name

fin pn (personal name)
fin pe (personal name, exact--use with caution)
Enter the name in direct order or in inverted order using a comma.

Corporate Name

fin cp (corporate/conference phrase)
fin cw   (corporate/conference word)

Title

fin tp (title phrase)
fin tw (title word)

Subject

fin sp (subject phrase)
fin sw   (subject word)

Record Number (half-price search)

fin id xxx (RLIN record number)

Record Status (free search)

fin st s

Retrieves all saved records with the same RLIN identifier as the one associated with your account.

Additional Indexes in the Authority File Only

Heading Phrase

fin hp (heading phrase)

bro hp (heading phrase, alphabetic--displays results in alphabetic order, twenty headings at a time enter + or - to retrieve the next, or the previous, twenty headings)

Pending Record Phrase (free search)

fin prp (pending record phrase)

Searches all saved and pending authority records, regardless of RLIN identifier.

MANIPULATING SEARCHES

Truncation (#)

Always use final truncation in phrase searches, with few exceptions; use as needed in word searches.

Use internal truncation as needed in word or phrase searches; final truncation will be system-supplied.

Do not use truncation in personal name searches; forenames have implicit truncation.

<u>Boolean Operators (and, or, not)</u>

Use "and" or "not" to narrow a search; use "or" to expand a search.

To use the words "and", "or", or "not" within phrase searches rather than as boolean operators, enclose the entire phrase in double quotation marks, including any truncation signs. If you use two or more boolean operators in a search, they will be processed from left to right unless you use parentheses to change the order.

<u>Also (/als)</u>

Works only in the bibliographic files and only with search results of 5,000 or less.

Restricts an index search using fields that cannot be searched directly (e.g., publication date, language, or library identifier, which may be using code "dcl". Truncated "als li dcl" retrieves DCLC, DCLH, DCLN, and DCLP records in the bibliographic file).

Useful in NACO work for identifying headings used in LC bibliographic records (/als li dclc).

Must be preceded by a forward slash if chained to the end of an index search; slash is not needed if command is entered separately to refine existing search results.

<u>Resume (res)</u>

Continues a search into the next selected file(s), dropping any als commands.

Used for comprehensive searching across files without rekeying.

DISPLAYING RESULTS:

Bibliographic Files

mul   (list of records starting with cluster 1)
mul 5 (list of records starting with cluster 5)

lon   (catalog-card display of current record)
lon 2   (catalog-card display of first record in cluster 2)
lon 2 dclc   (catalog-card display of LC record in cluster 2)

ful   (MARC display of current record)
ful 6   (MARC display of first record in cluster 6)
ful 6 dclc   (MARC display of LC record in cluster 6)

+ or - (next or previous screen)

+B or -B   (next or previous record in a list)

+M or -M   (earlier or later version of record)

Authority Files

hea   (list of records, starting with record 1.1, resulting from an index search)
hea 5 (list of records, starting with record 5.1, resulting from an index search)

mul   (list of records, starting with record 1, resulting from a fin prp or fin st s
                search)
mul 4 (list of records, starting with record 4, resulting from a fin prp or fin st s search)

ful   (MARC display of current record)
ful 2   (MARC display of record 2.1 in a hea list, or record 2 in a mul list)
ful 2.2   (MARC display of record 2.2 in a hea list)

+ or - (next or previous screen)

+B or -B   (next or previous record in a list)

+V or -V   (earlier or later version of record)

INPUTTING

Modes

set mod sav (default at logon)

set mod pro (use only when producing records; remember to set the mode back to save after producing records if you intend to continue working in RLIN)

Transactions

cre (to create a blank workform; cre* not possible in authority files)

upd (to update an already existing record)

can (to cancel an in-process record or to cancel an in-process update)

ent (to enter a newly created record or a newly updated record)

Navigating

Tab (to move to the next input area)

Shift/Insert (to insert a line above the cursor position)

Enter (to advance to the next line)

"+"   (to advance to the next screen fo to create a next screen when the first is full)

Special Characters

Delimiter mark (press the - key on the numeric keypad to type a delimiter mark; do not include spaces on either side of the delimiter)

Diacritics (to find instructions for entering diacritics, click on the Help menu, then on Contents, then under the Reference section click on RLIN Alternate Character Set)

Copying & Deleting Text

Copy and Paste (highlight the text to be copied, then press Control/C to copy the text to the Clipboard; after moving the cursor to the appropriate position, press Control/V to paste;

---

the copied text remains in the Clipboard until you replace it with something else, allowing you to easily paste the same text in several places in the record)

Cut and Paste (highlight the text to be cut, then press Control/X to delete the text and transfer it to the Clipboard after moving the cursor to the appropriate position, press Control/V to paste; you can omit the pasting if you simply want the block of text deleted)

Delete to End (to delete the text from the cursor position to the end of a particular input area, press Shift/Delete)

Record Management

Producing Saved Record (update record in produce mode; change fixed field ST to status p enter)

Deleting Saved Record (update record in save mode; on bottom line, type INS in tag area, leave both indicators blank, type D in the variable text area; enter)

LOGON & LOGOFF is often system specific, but generally to LOGON after getting a prompt type in your "account/password" and press the + (plus) key on the numeric keypad to get the command prompt. To LOGOFF type "logoff"

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[2] Based on documentation written by Manon Theroux for Yale University Library's website: RLIN for Windows 3.0 (http://www.library.yale.edu/cataloging/authorities/RLIN4w.htm#search)